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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

#3

| | | | |
|--------------------|---------------------|-----------------------|---------------------------|
| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|

09/240,434 01/29/99 O'NEAL S ITC:9907

0232/0217

JAMES W. RUFFMAN
106 MORNING CLOUD
AUSTIN TX 78734

NOT ASSIGNED

2784
DATE MAILED:

02/17/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☒ non-small entity is \$ 1400.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 510, including any multiple dependent claim fees, are required.

\$ 78 for 1 independent claims over 3.

\$ 432 for 24 dependent claims over 20.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unexecuted.
☐ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date, is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

C. Gray
Customer Service Center
Initial Patent Examination Division (703) 308-1202

199 NHRSANT 0000063 09240434

65.00
380.00
216.00

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13

NEW UTILITY PATENT APPLICATION TRANSMITTAL AND FEE SHEET

| | |
|-----------------------|--|
| In re application of: | Stephen C. O'Neal Robb W. Wilmott |
| Serial No.: | 09/240434 |
| Filed: | 1/29/99 |
| Docket: | ITC:9907 |
| For: | METHOD AND APPARATUS FOR NETWORK INDEPENDENT INITIATION OF TELEPHONY |



Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. § 111(a) and 37 CFR § 1.53(b)(1) are:

- ☒ executed declaration of the inventors and combined power of attorney.
- ☒ an assignment of the invention to ITC Corporation with cover page.
- ☒ fee sheet and transmittal
- ☒ a verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27.

| FEE CALCULATION | | | | | FEE |
|---------------------|----|--------|----|----------|----------|
| Basic Filing Fee: | | | | | \$ 380 |
| Independent Claims: | 4 | - 3 = | 1 | x \$39 = | \$ 39 |
| Total Claims: | 44 | - 20 = | 24 | x \$9 = | \$ 216 |
| Total Filing Fee: | | | | | \$635.00 |

- ☒ A check in the amount of \$635.00 to cover the filing fee is enclosed.
- ☒ A check in the amount of \$65.00 to cover the filing fee is enclosed.

missing
part \$

Respectfully submitted,

James W. Huffman
Registration No. 35,549
106 Morning Cloud Dr.
Austin, TX 78734
(512) 367-7050

Date: 3/29/99

"EXPRESS MAIL" mailing label number E407608666405
Date of Deposit 3/29/99. I hereby certify that this paper is
being deposited with the U.S. Postal Service Express Mail Post Office to
Addressee Service under 37 C.F.R. §1.10 on the date shown above and is
addressed to the U.S. Commissioner of Patents and Trademarks,
Washington, D.C. 20231
By [Signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|-----------------------|---|
| In re application of: | Stephen C. O'Neal G. Alex Terry |
| Serial No.: | 09/240434 |
| Docket: | ITC:9907 |
| For: | METHOD AND APPARATUS FOR NETWORK INDEPENDENT INITIATION OF TELEPHONY |

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(F) & 1.27(C))--SMALL BUSINESS CONCERNHonorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: ITC CORPORATION

ADDRESS OF SMALL BUSINESS CONCERN: 555 Fulton Street, Suite 208, San Francisco, CA 94102

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121 for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

- ☒ Each person, concern, or organization having any rights in the invention is listed below:
☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

Kang S. Lim

TITLE OF PERSON IF OTHER THAN OWNER

Vice President

ADDRESS OF PERSON SIGNING

555 Fulton Street
Suite 208
San Francisco, CA 94102

DATE

3/22/99

SIGNATURE